

FORM PTO-1390

DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

50341-046

U.S. APPLIC. NO. (if known) 37 CFR 1.51  
Not yet assigned

**10/526050**

INTERNATIONAL APPLICATION NO

PCT/AU2003/001118

INTERNATIONAL FILING DATE

August 29, 2003

PRIORITY DATE CLAIMED

August 30, 2002

## TITLE OF INVENTION

METHODS FOR THE CHEMICAL AND PHYSICAL MODIFICATION OF NANOTUBES, METHODS FOR LINKING THE NANOTUBES, METHODS FOR THE DIRECTED POSITIONING OF NANOTUBES, AND USES THEREOF

## APPLICANTS FOR DO/EO/US

Maxine MCCALL, Minoo MOGHADDAM

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☒ is attached herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 34 (35 U.S.C. 371(c)(3))
  - a. ☒ are attached hereto (required only if not transmitted by the International Bureau).
  - b. ☒ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendment has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☒ An English translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern other document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821-1.825.
18. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English translation of the International Application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information.  
Form PCT/IPEA/409, 408, 401  
PCT Request

U.S. APPLIC. NO. (if known, see 37 CFR 1.53) Not yet assigned. <b>10/526050</b>		INTERNATIONAL APPLICATION NO. PCT/AU2003/001118		ATTORNEY'S DOCKET NUMBER 50341-046	
				CALCULATIONS	PTO USE ONLY
21. <input checked="" type="checkbox"/> The following fees are submitted:					
<input checked="" type="checkbox"/> Basic National Stage Fee		\$300	\$300.00		
22. <input checked="" type="checkbox"/> Examination Fee					
If International preliminary examination report prepared by USPTO and all claims satisfy provisions of PCT Article 33(1)-(4)		\$100	\$200.00		
All other situations		\$200			
23. <input checked="" type="checkbox"/> Search Fee					
Search fee (37 CFR 1.445(1)(2)) has been paid on the international application to the USPTO as an International Searching Authority		\$100	\$500.00		
International Search Report prepared and provided to the Office		\$400			
All other situations		\$500			
TOTAL OF 21, 22 and 23 =			\$1000.00		
<input checked="" type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.			\$		
Total Sheets	Extra Sheets	Number of each additional 50 or fraction Thereof (round up to a whole number)	RATE		
143-100	43/50=	1	X\$250	\$250.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).			\$130.00		
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total Claims	52-20 =	32	x \$50.00	\$1600.00	
Independent Claims	20-3 =	17	x \$200.00	\$3400.00	
Multiple dependent claim(s) (if applicable)			+ \$360.00	\$	
TOTAL OF ABOVE CALCULATIONS =			\$6380.00		
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.			\$		
SUBTOTAL =			\$6380.00		
Processing fee of \$130.00 for furnishing the English translation later than the 30 months from the earliest claimed priority date (37 CFR 1.492(f)).			+	\$	
TOTAL NATIONAL FEE =			\$6380.00		
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property			+	\$40.00	
TOTAL FEES ENCLOSED =			\$6420.00		
			Amount to be refunded	\$	
			Amount to be charged	\$6420.00	
<input type="checkbox"/> _____ in the amount of \$ _____ to cover the above fees is enclosed. <input checked="" type="checkbox"/> I hereby charge my Deposit Account No. <u>500417</u> in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>500417</u> . A duplicate copy of this sheet is enclosed.					
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.					
SEND ALL CORRESPONDENCE TO:					
Customer Number 20277					
Telephone: 202.756.8000					
Facsimile: 202.756.8087					
			SIGNATURE		
			<i>Judith L. Toffenetti</i>		
			NAME		
			Judith L. Toffenetti		
			39,048		
			REGISTRATION NUMBER		